

09/17/01



J1046 U.S. PTO

09-19-01

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Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|-------------------------------------|
| Attorney Docket No. | D-2695/WOD |
| First Inventor | R. Moffitt |
| Title | Dual Exhaust Energy Recovery System |
| Express Mail Label No. | EF109330761US |

1c971 U.S. PTO
09/954564

10/17/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 18]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. Oath or Declaration [Total Pages 19]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. _____/_____

Prior application information

Examiner _____

Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

| | | | | | |
|---------|---------------------------|-----------|--------------|----------|----------|
| Name | William O'Driscoll - 12-1 | | | | |
| Address | The Trane Company | | | | |
| | 3600 Pammel Creek Road | | | | |
| City | La Crosse | State | WI | Zip Code | 54601 |
| Country | United States | Telephone | 608-787-2538 | Fax | 787-3755 |

| | | | |
|-------------------|---------------------------|-----------------------------------|-----------|
| Name (Print/Type) | William O'Driscoll | Registration No. (Attorney/Agent) | 33,294 |
| Signature | <i>William O'Driscoll</i> | Date | 9/17/2001 |

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on
the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC
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Washington, DC 20231

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT

(\$1256.00

Complete if Known

Application Number

Filing Date

First Named Inventor

R. Moffitt

Examiner Name

Group Art Unit

Attorney Docket No.

D-2695/WOD

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit
Account
Number

20-1434

Deposit
Account
Name

The Trane Company

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|----------|----------|----------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | 710 |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | (\$ 710) |

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 37 | -20** = 17 | 18 | 306 |
| 6 | -3** = 3 | 80 | 240 |
| Multiple Dependent | | | |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|--------------|----------|----------|----------|--|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | | | |

**for number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

William O'Driscoll

Registration No.
(Attorney/Agent)

33,294

Telephone

608-787-2538

Signature

William O'Driscoll

Date

9/17/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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| MULTIPLE DEPENDENT CLAIM FEE CALCULATION SHEET (For use with Form PTO/SB/06) | | | | | | | Application Number | | Filing Date | | | |
|--|----------|--------|-----------------------|--------|------------------------|--------|---|--------|-------------|--------|-------|--------|
| | | | | | | | Applicant(s) R. Moffitt | | | | | |
| | | | | | | | * May be used for additional claims or amendments | | | | | |
| CLAIMS | AS FILED | | AFTER FIRST AMENDMENT | | AFTER SECOND AMENDMENT | | * | | * | | * | |
| | Indep | Depend | Indep | Depend | Indep | Depend | Indep | Depend | Indep | Depend | Indep | Depend |
| 1 | Ind. | | | | | | 51 | | | | | |
| 2 | | 1 | | | | | 52 | | | | | |
| 3 | | 1 | | | | | 53 | | | | | |
| 4 | | 3 | | | | | 54 | | | | | |
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| 8 | | 7 | | | | | 58 | | | | | |
| 9 | | 8 | | | | | 59 | | | | | |
| 10 | | 1 | | | | | 60 | | | | | |
| 11 | | 3 | | | | | 61 | | | | | |
| 12 | Ind. | | | | | | 62 | | | | | |
| 13 | | 12 | | | | | 63 | | | | | |
| 14 | | 13 | | | | | 64 | | | | | |
| 15 | | 14 | | | | | 65 | | | | | |
| 16 | | 15 | | | | | 66 | | | | | |
| 17 | | 13 | | | | | 67 | | | | | |
| 18 | Ind. | | | | | | 68 | | | | | |
| 19 | | 18 | | | | | 69 | | | | | |
| 20 | | 19 | | | | | 70 | | | | | |
| 21 | | 20 | | | | | 71 | | | | | |
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| 23 | | 19 | | | | | 73 | | | | | |
| 24 | Ind. | | | | | | 74 | | | | | |
| 25 | | 24 | | | | | 75 | | | | | |
| 26 | | 25 | | | | | 76 | | | | | |
| 27 | | 26 | | | | | 77 | | | | | |
| 28 | | 27 | | | | | 78 | | | | | |
| 29 | | 28 | | | | | 79 | | | | | |
| 30 | Ind. | | | | | | 80 | | | | | |
| 31 | | 30 | | | | | 81 | | | | | |
| 32 | | 31 | | | | | 82 | | | | | |
| 33 | | 32 | | | | | 83 | | | | | |
| 34 | Ind. | | | | | | 84 | | | | | |
| 35 | | 34 | | | | | 85 | | | | | |
| 36 | | 35 | | | | | 86 | | | | | |
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| 50 | | | | | | | 100 | | | | | |
| Total Indep | 6 | | | | | | Total Indep | | | | | |
| Total Depend | 31 | | | | | | Total Depend | | | | | |
| Total Claims | 37 | | | | | | Total Claims | | | | | |

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN THE PATENT APPLICATION OF:

RONNIE R. MOFFITT

U.S. SERIAL NO: UNKNOWN

GROUP: UNKNOWN

FILED: CONCURRENTLY

EXAMINER: UNKNOWN

FOR: DUAL EXHAUST ENERGY RECOVER
SYSTEM

La Crosse, Wisconsin
September 17, 2001

CERTIFICATE OF MAILING BY EXPRESS MAIL

UNDER 37 C.F.R. 1.10

Assistant Commissioner for Patents

Box Patent Application

Washington, D.C. 20231

Dear Sir:

I hereby certify that the attached "Patent Application" is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on September 17, 2001, and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231. The number of the Express Mailing label is EF109330761US.

Respectfully Submitted,



William O'Driscoll

Registration No. 33,294

Telephone Number: (608)787-2538

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